

Substitute Form PTO-1449

U.S. Department of Commerce
Patent and Trademark Office

Attorney's Docket No.

Application No.

10454-014002

09/711,323

Information Disclosure Statement

by Applicant

(Use several sheets if necessary)

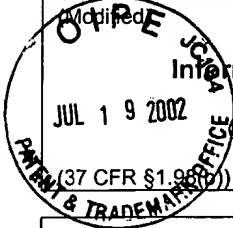
Applicant

Valdes, et al.

Filing Date

November 9, 2000

Group Art Unit



U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA						
	AB						
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Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
M	AL	WO 00/34867	15 June 2000	WIPO				
	AM							
	AN							
	AO							
	AP							

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
M	AQ	Debar, et al., "A Neural network Component for an Intrusion Detection System," 1992 IEEE
M	AR	Debar et al., "Towards a Taxonomy of Intrusion-Detection Systems," Computer Networks 31 (1999), 805-822
M	AS	Denning et al., "Requirements and Model for IDES—A Real-Time Intrusion-Detection Expert System," SRI Project 6169, SRI International, Menlo Park, CA, August 1985
M	AT	Denning, "An Intrusion-Detection Model," SRI International, Menlo Park, CA, Technical Report CSL-149, November 1985
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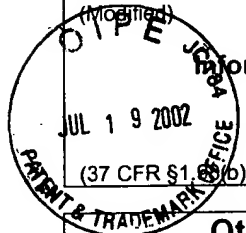
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Substitute Form PTO-1449 (Modified)		U.S. Department of Commerce Patent and Trademark Office		Attorney's Docket No. 10454-014002	Application No. 09/711,323
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.8(b))				Applicant Valdes, et al.	
				Filing Date November 9, 2000	Group Art Unit



Other Documents (include Author, Title, Date, and Place of Publication)

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AM	AV	Garvey et al., "Model-Based Intrusion Detection," Proceedings of the 14 th National Computer Security Conference, Washington DC, October 1991
AM	AW	Goan, "A Cop On the Beat: Collecting and Appraising Intrusive Evidence," Communications of the ACM volume 42 number 7, pp. 46-52
AM	AX	Internet Security Systems Technology Brief, "Intrusion Detection for the Millennium"
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AM	AZ	Lunt, "Automated Audit Trail Analysis and Intrusion Detection: A Survey," Proceedings of the 11 th National Computer Security Conference, Baltimore, MD, October 1988
AM	AAA	Judea Pearl, <u>Probabilistic Reasoning in Intelligent Systems: Networks of Plausible Inference</u> , Morgan Kaufmann Publishers, 1988.
AM	ABB	Xavier Boyen and Daphne Koller, "Tractable Inference for Complex Stochastic Processes," Proceedings of the Fourteenth Annual Conference on Uncertainty in Artificial Intelligence (UAI-98), pp. 33-42, Madison, WI July 24-26, 1988.
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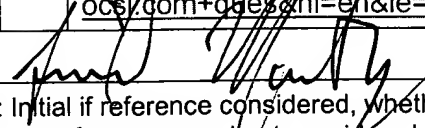
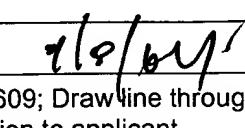
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U.S. Department of Commerce, Patent and Trademark Office					Docket No.		Serial No.	
(PT) Form 1449 modified					SRI/4190-3		09/711,323	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT					Applicant de Jesus Valdes, et al.		Confirmation No.: 6879	
(Use several sheets if necessary)					Filing Date		Group	
Examiner					November 9, 2000		2161	
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AM	A1	6,453,346 B1	09/17/2002	Garg et al.	709	224		
	A2							
Foreign Patent Documents								
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	B1						<div style="text-align: right;">JUN 23 2003</div> <div style="text-align: right;">GROUP 3600</div>	
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AM	C1	Hartley, B., "Intrusion Detection Systems: What You Need to Know," Business Security Advisor Magazine, Doc # 05257, allegedly dated September 1998, http://advisor.com/doc/05257 , 7 pages, printed June 10, 2003						
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AM	C6	Cisco Secure Intrusion Detection System 2.1.1 Release Notes, Table of Contents, Release Notes for NetRanger 2.1.1, © 1992-2002, Cisco Systems, Inc., , allegedly posted September 28, 2002, 29 pages, http://www.cisco.com/univercd/cc/td/doc/product/iaabu/csids/csids3/nr11new.htm , printed June 10, 2003						
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Examiner					Date Considered			
								
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U.S. Department of Commerce, Patent and Trademark Office		Docket No.	Serial No.
(PTO Form 1449 modified)		SRI/4190-3 SEP 25 2003	09/711,323
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Applicant de Jesus Valdes, et al.	Confirmation No. 0979
Use several sheets if necessary)		Filing Date	Group
Examiner		November 9, 2000	2161

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT SEP 22 2003 (Use several sheets if necessary)		Applicant de Jesus Valdes, et al.	Confirmation No. 879
Examiner		Filing Date November 9, 2000	Group 2161

AM	A28	2002/0144156	10/03/2002	Copeland, III	713	201	01/31/2002
AM	A29	2002/0138753	09/26/2002	Munson	713	200	03/15/2002
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Foreign Patent Documents

*Examiner Initial		Document Number	Date	Country	Class	Subclass	Translation	
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AM	B1	99/13427	03/18/1999	WIPO	G06K	7/00	<input type="checkbox"/>	<input type="checkbox"/>
AM	B2	99/57626	11/11/1999	WIPO	G06F	1/16	<input type="checkbox"/>	<input type="checkbox"/>
AM	B3	00/10278	02/24/2000	WIPO	H04L		<input type="checkbox"/>	<input type="checkbox"/>
AM	B4	00/25214	05/04/2000	WIPO	G06F	12/14	<input type="checkbox"/>	<input type="checkbox"/>
AM	B5	00/25527	05/04/2000	WIPO	H04Q	3/00	<input type="checkbox"/>	<input type="checkbox"/>
AM	B6	00/34867	06/15/2000	WIPO	G06F	11/30	<input type="checkbox"/>	<input type="checkbox"/>
AM	B7	02/101516	12/19/2002	WIPO	G06F		<input type="checkbox"/>	<input type="checkbox"/>
	B8						<input type="checkbox"/>	<input type="checkbox"/>

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AM	C2	Denning et al, "Prototype IDES: A Real-Time Intrusion-Detection Expert System," SRI Project ECU 7508, SRI International, Menlo Park, California, Aug. 1987
AM	C3	Dowell, "The Computerwatch Data Reduction Tool," AT&T Bell Laboratories, Whippany, New Jersey.
AM	C4	Farshchi, J., "Intrusion Detection FAQ, Statistical based approach to Intrusion Detection," http://www.sans.org/resources/idfaq/statistic_ids.php , date unknown, printed 7/10/2003
AM	C5	Fox, et al., "A Neural Network Approach Towards Intrusion Detection," Harris Corporation, Government Information Systems Division, Melbourne, FL, Jul. 2, 1990.
AM	C6	Heberlein, et al., "A Network Security Monitor," Proceedings of the IEEE Symposium on Security and Privacy, May 07-09 1990, Oakland, CA, pp 296-304, IEEE Press.
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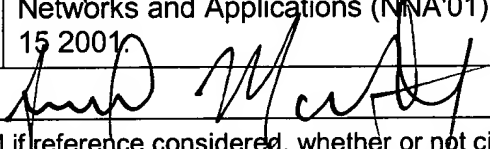
U.S. Department of Commerce, Patent and Trademark Office		Docket No.	Serial No.
(PTO Form 1449 modified)		SRI/4190-3	597111823
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Applicant	Confirmation
SEP 22 2003		de Jesus Valdes, et al.	No. 6879
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AM	C24	Sebring et al., "Expert systems in intrusion detection: A case study". In Proceedings of the 11th National Computer Security Conference, pages 74-81, October 1988.
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